SPIROLA

Spirometry Longitudinal Data Analysis

Version 1.0 (Updated: February 19, 2008)

User Manual

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Disclaimer: This software is provided to assist health care practitioners in their management of occupational medical monitoring programs using spirometry. The software is only intended to assist the user in assembling the information required to make medical decisions, but cannot be substituted for competent and informed professional judgment. NIOSH does not warrant the reliability or accuracy of the software, graphics, or text. The users need to be aware of applicable federal, state and local laws and regulations that may impact utilization of this software.

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1. Background

Monitoring of lung function in at-risk populations enables the identification of individuals with excessive decline of lung function. The spirometry test of forced expiratory volume in one second (FEV $_1$) is the measure best suited for monitoring changes in lung function over time. The method of longitudinal FEV $_1$ evaluation should identify those with an excessive FEV $_1$ decline as early and accurately as possible. An excessive decline in lung function over several years can indicate development of lung disease and has been shown to be associated with increased respiratory morbidity, loss of productivity at an earlier age, and increased mortality. $^{1-3}$

To ensure that individuals with excessive decline in lung function can be identified early and accurately, it is important to maintain precision of the longitudinal spirometry data. Statistical monitoring of longitudinal data precision, in addition to good quality control for individual spirometry tests, helps to maintain data precision at an acceptable level and provides the basis on which to determine an appropriate limit of longitudinal decline.⁴⁻⁶

The *Spirometry Longitudinal Data Analysis* (SPIROLA) software is an integrated visual and quantitative tool for the detection of excessive lung function decline in individuals participating in spirometry monitoring. SPIROLA may help to preserve lung function through early identification of excessive decline followed by appropriate intervention. The software enables the user to:

- (i) interpret an individual's most recent spirometry test results (FEV₁, FVC, and the FEV₁/FVC ratio) in relation to standard (or user-provided) reference equations;
- (ii) monitor longitudinal spirometry data precision in a group of individuals using the pair-wise estimate of within person standard deviations s_p (absolute) or s_r (relative) (Section 5);⁴⁻⁶
- (iii) monitor longitudinal data for FEV₁ and FVC to identify individuals whose lung function decline may be excessive for further evaluation or intervention (**Section 5**);
- (iv) monitor effects of interventions on lung function decline in an individual or in a group of individuals.

SPIROLA provides the following functions:

For a group of individuals:

- It monitors longitudinal data precision (i.e., pair-wise within-person variation).
- It monitors group means for observed, predicted, and percent predicted FEV₁ and FVC values to enable the user to identify systematic changes in FEV₁ and FVC taking place at a group level.
- It provides summary statistics and lists of individuals whose most recent lung function tests fall below the LLN and whose rate of lung function decline is excessive.

For an individual:

- It monitors the level of FEV₁ and FVC in relation to criteria for assessment of cross-sectional data: the lower limit of normal (LLN) and 60% of predicted.
- It monitors FEV₁ decline in relation to criteria for assessment of longitudinal data: the limits of longitudinal decline (LLD) and the running change in the rate of decline.
- It monitors changes in the rate of FEV₁ decline when at least 4 years of follow-up data are available.
- It provides interpretation of the rate of FEV₁ decline and its variability in an individual's summary report and, when appropriate, suggests retesting or actions to prevent further excessive loss.

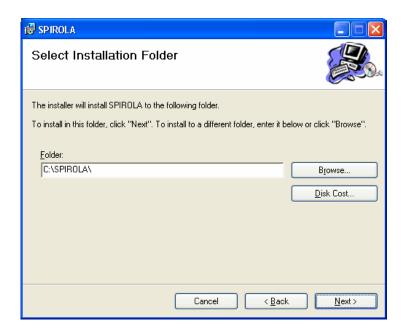
2. SPIROLA Installation

SPIROLA runs on PC with Microsoft Windows system. For detailed software requirements see **Appendix**.

- 1. Open NIOSH SPIROLA webpage http://www.cdc.gov/niosh/topics/spirometry/spirola.html.
- 2. Click **Software Download** to download SPIROLA.
- 3. Click **Run** button on the **File Download** window to start setup procedure, see below. (If a warning "Publisher could not be verified" appears, click **Run** button to continue the installation.) If **Run** does not work, click **Save** on the **File Download** and follow the instructions to save the setup file on the local C: drive (for example: C:\SpirolaSetup) and then run on the local drive.



- 4. A welcome window should appear. Click **Next** > to proceed.
- 5. User needs to read and agree with a *DISCLAIMER* to install and use the software. Click **Next** > to proceed.
- 6. The **Select Installation Folder** window will appear, as shown below. By default, SPIROLA is installed into **C:\SPIROLA** folder. The user can override this default setting by designating an alternative location. Click **Next>** to proceed.



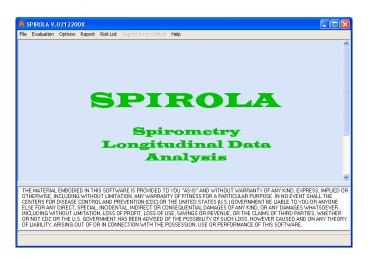
- 7. Follow the setup wizard instructions to complete the installation. On completion, an *Installation Complete* window will display message "SPIROLA has been successfully installed." Click **Close** to exit.
- 8. SPIROLA item will be added to the All Programs menu on the Windows Start menu, and a SPIROLA icon will be created on the Desktop.

3. Operating Instructions

3.1 Start and Close SPIROLA

To run SPIROLA, double click the **SPIROLA** icon from the Desktop, or click the **SPIROLA** program via **Start** > **All Programs** > **SPIROLA**.

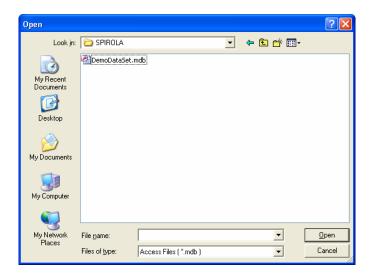
A SPIROLA start screen will appear, as shown below. To close SPIROLA, on the **File** menu click **Exit**, or just click the **close** button in the right upper corner of the window.



3.2 Open Dataset

The SPIROLA package includes a demonstration dataset (C:/SPIROLA/DemoDataSet.mdb). See Appendix on how to create user's own database in a correct format.

1. On the **File** menu click **Open.** A window will appear, as shown below.

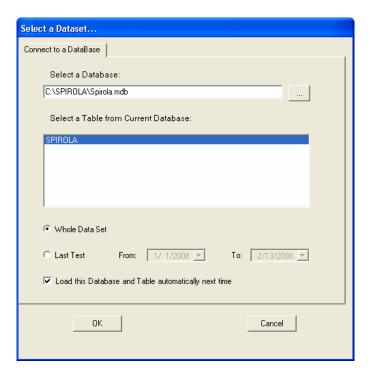


- 2. Click on the desired .mdb file (for example, SPIROLA.mdb). If the dataset file is not in the current folder, click on the **Look in** list, and then double click the drive and folder that contains the .mdb database file. Click **Open** to proceed. For back-up, it is recommended that users keep copies of all SPIROLA .mdb files in a different folder (e.g., C:\SPIROLADATA).
- 3. Click on a desired data table listed under **Select a Table from Current Database** as shown below and then click **OK** to load the whole dataset into SPIROLA.

Note:

User can select a smaller dataset that contains only individuals whose last test is within a specified period. To do that click on **Last Test** and select the appropriate period. SPIROLA will process the sub-dataset only during the current session.

To automatically load the whole dataset next time, check the **Load this Database and Table automatically next time**.



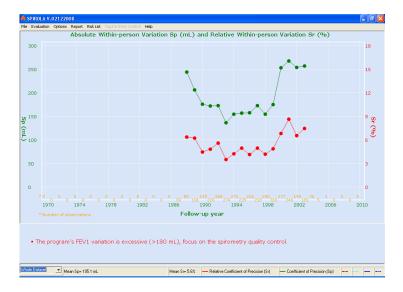
3.3 Evaluation Menu

The **Evaluation** menu provides a list of group and individual evaluations. Group evaluations include: pair-wise within-person variation; means for FEV₁ and FVC; and the mean slope of decline. Individual evaluations include: individual FEV₁ and FVC evaluation (absolute values); individual percent predicted evaluation (FEV₁, FVC and FEV₁/FVC); dual windows showing both the absolute FEV₁ and percent predicted values; a summary report; and a function to enable the user to select individuals by name.



Monitor longitudinal data precision in a group

- 1. Double click on **Within-person Variation** on the **Group Evaluations** submenu of **Evaluation** menu to show the yearly values of the pair-wise within-person variation s_p (absolute) and s_r (relative), as shown below. The annual pair-wise within-person variation s_p and s_r are calculated using FEV₁ measurements repeated within 18 months. A sample of at least 50 individuals with repeated measurements is needed to obtain a reliable estimate of the within-person variation. If the number of repeated measurements (the number shown in orange on the screen) is less than 50 in any one year, the s_p and s_r values for that year are not displayed. The legend at the bottom of the screen shows the mean s_p and s_r values for the monitoring program (**Section 5**).
- 2. To print the figure, click **Report Print** on the **Report** menu. To preview the printout, click **Report Preview** on the **Report** menu. **Close** the report preview to proceed.



Monitor mean FEV₁ and FVC values in a group

- 1. On the **Group Evaluations** submenu of **Evaluation** menu, click **Means for FEV**₁ (or **FVC**) to display yearly group means for observed, predicted, and percent predicted values as shown below for FEV₁.
- 2. To print the figure, click **Report Print** on the **Report** menu. To preview the printout, click **Report Preview** on the **Report** menu.



The mean FEV₁ chart shows group means for predicted (yellow), observed (green), and percent predicted (red) FEV₁ values. Same applies for FVC chart. The predicted values are derived from prediction equations that take into account age, height, sex, and race/ethnic background, and are based on nationally representative healthy neversmokers. Tregular deviations of observed mean values from predicted values may be due to changes in measurement procedures, or due to effects of occupational exposure or interventions. Monitoring mean FEV₁ and FVC values can help to identify systematic effects taking place at a group level.

Monitor FEV₁ in an individual

- 1. On the **Evaluation** menu click **Individual FEV₁ Evaluation** to show a chart for the first individual.
- 2. Click the arrow next to combo box (ID box) on the left bottom corner and a part of the ID list will be shown (see below).
- 3. Click up or down arrows or drag the scrollbar next to the ID list and click on an individual's ID. Alternatively, click on a starting ID and use the up and down arrows on the keyboard to display individual IDs or type the ID into the ID box.



The individual FEV₁ chart shows: the observed FEV₁ values (green dots) plotted against age; the linear regression (green) line fitted to the observed FEV₁ data (when at least 4 years of follow-up data are available); cross-sectional lower limit of normal (LLN) (purple) and 60% predicted (red) based on Hankinson *et al.* equations.⁷ (see **Section 5**). The blue solid line represents the limit of longitudinal decline (LLD_r) calculated from the baseline observation(s) based on the default relative within-person variation of 4% and reference slope of 40 mL/yr (see **Section 5**-theory and **Section 3.3**-changing default). This LLD_r is used to identify excessive declines up to 8 years of follow-up. Observations that fall below LLD should be evaluated as to whether the decline represents data quality issue or true decline. The turquoise (greenish-blue) dashed line represents the American College of Occupational and Environmental Medicine (ACOEM) longitudinal limit of decline calculated as LLD=Baseline FEV₁×0.85- years×30 mL/yr.⁸

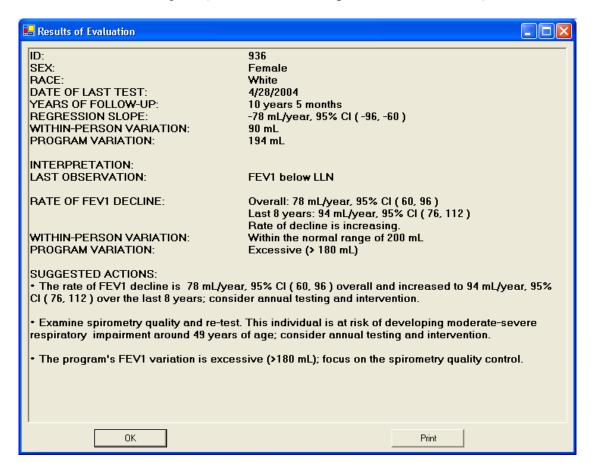
Beginning with 4 years of follow-up, SPIROLA also tracks changes in the rate of FEV₁ decline and displays this against the scale on the right axis of the figure, as shown below. The brown dots show the running change in the rate of decline up to each data point and enable the user to discern the change in rate due to the last data point. The yellow dots show the running change in the slope for the previous 8 years and enable the user to discern changes in the rate of decline in the last 8 years. The three parallel lines represent 30, 60, and 90 mL/yr rates of decline.³ The bottom margin displays the linear *Regression Slope* for the individual who has 4 or more years of follow-up and *Mean Slope* for the group, calculated as the average of regression slopes for all individuals in the group.

Beginning with 8 years of follow-up, SPIROLA's decision-making is based on the estimated regression slope and the projected age when the regression (dashed green) line crosses the 60% predicted line (solid red line). The blue dashed line shows the longitudinal lower 95% confidence limit for the fitted regression line, estimated from 8 years of follow-up data. This limit can be used to test whether the last observation deviates significantly from the regression line predicted using all observations (see **Sections 4 and 5**).



The table below the chart shows the individual's demographic and lung function data and calculated rates of decline (Rate) at each test date. Other data, for example name, weight, smoking status, cigarettes per day, quality control data, and a technician's code will be shown also if included in the database. The bottom margin shows the individual and the group mean linear regression slopes and the absolute within-person FEV₁ variation for the individual. If desired, one or more outliers can be removed from the analysis by right clicking on it (see "Remove outliers from a longitudinal analysis" below).

4. On the **Evaluation** menu, click **Summary Report** to view summary results of an individual's lung function evaluation and a suggested course of action (see **Section 4**) as shown below. Click **OK** to close the window. Click **Print** to print the chart and evaluation in one report. (See **Section 3.4**: **Report Menu** for details.)



Monitor FVC in an individual

- 1. On the **Evaluation** menu click **Individual FVC Evaluation** to show a FVC chart.
- 2. Click the arrow next to combo box (ID box) on the left bottom corner to select the ID. See Monitor FEV_1 in an individual for details on ID selection.



The individual FVC chart shows: the observed FVC values (green dots) plotted against age; the linear regression (green) line fitted to the observed FVC data (when at least 4 years of follow-up data are available); cross-sectional lower limit of normal (LLN) (purple, if specified to display) or 70% predicted (purple) and 60% predicted (red) based on Hankinson *et al.* equations. Observations that fall below the cross-sectional limits should be evaluated as to whether the decline represents data quality issue or true decline.

Monitor percent predicted values in an individual

- 1. On the **Evaluation** menu click **Individual Percent Predicted** to obtain a chart with percent predicted values for an individual person, as shown below.
- 2. Click the arrow next to combo box (ID box) on the left bottom corner to select the ID. See Monitor FEV_1 in an individual for details on ID selection.



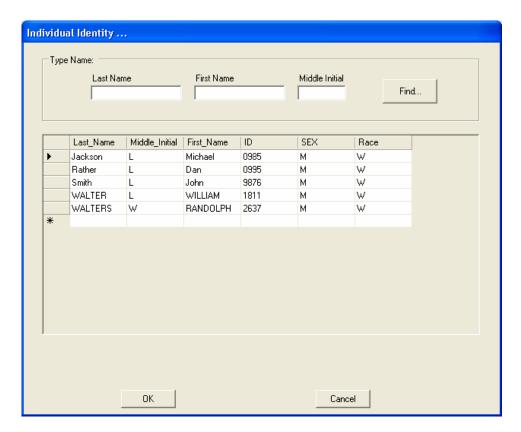
Monitor an individual in a dual window

- 1. On the **Evaluation** menu click **Dual Window** to obtain a chart which shows both observed FEV₁ evaluation and percent predicted evaluation on the same screen, as shown below.
- 2. Click the arrow next to combo box (ID box) in the left bottom corner to select the ID. See Monitor FEV_1 in an individual for details on ID selection.



Individual identity specification

- 1. This option enables the user to select an individual by his name. The option will function only if individuals' names (Last_Name, First_Name, Middle_Initial) are included in the SPIROLA database.
- 2. On the **Evaluation** menu click **Individual Identity** to display an *Individual Identity* window, as shown below.
- 3. Type the person's name into the *Individual Identity* window and click Find...
- 4. Select the desired name from the list and click **OK**.

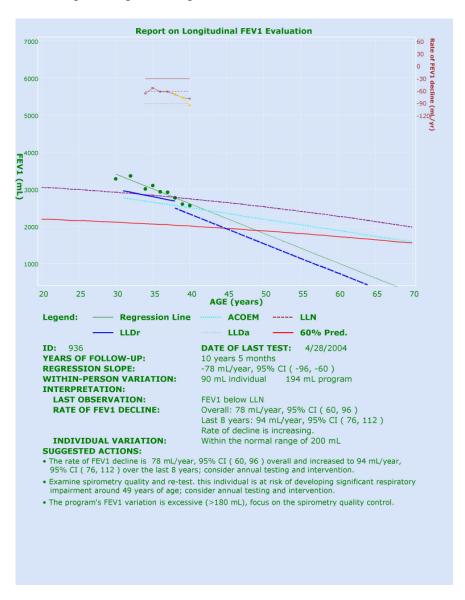


3.4 Report Menu

Preview and print the report

- 1. To print a current plot, click **Report Print** on the **Report** menu.
- 2. Evaluation results summarized in a medical report can be printed with the FEV1 or FVC chart, see example below.
- 3. To preview the report, click **Report Preview** on the **Report** menu and a printable report will appear.

An example of a printed report.

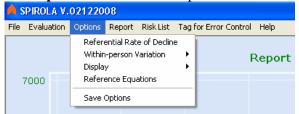


3.5 Options Available in SPIROLA

SPIROLA provides options to change default values or adjust parameters; these changes take effect during the current SPIROLA session only. (To save and automatically load the changes on the next run, see **Save Options** later in this chapter.) The user may:

- select a referential rate of decline based on the actual data;
- select within-person variation based on the actual data precision;
- select critical limit curves displayed on an individual chart;
- temporarily remove outliers from the individual data analysis;
- choose units for height (cm or in);
- customize the reference equation used for LLN and 60% predicted FEV₁ values.

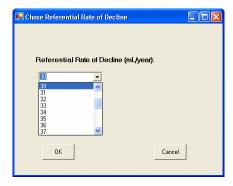
The **Option** menu allows implementation of some of the options.



Referential rate of decline

SPIROLA uses a default of 40 mL/yr for the referential rate of FEV₁ decline. The **Referential Rate of Decline** option enables changing the default value. Studies indicate that the mean rate of FEV₁ decline in healthy never-smokers is about 30 mL/yr. To achieve greater predictive values of the limit of longitudinal decline (LLD) for moderate impairment of lung function, a referential rate of decline based on all healthy individuals regardless of smoking status, should be used. In preliminary analyses, we determined this to ranges from 40 to 45 mL/yr. SPIROLA calculates the mean rate of decline for the group using all individuals with four or more years of follow-up and shows the result on the bottom margin of individual FEV₁ chart. Using the mean rate of decline as the referential rate of decline together with the average within-person variation will result in identifying about 5% of declines as excessive.⁵

1. On the **Options** menu, click **Referential Rate of Decline** and a dialog window will appear, as shown below. Select a desired value from the list box, click **OK**.

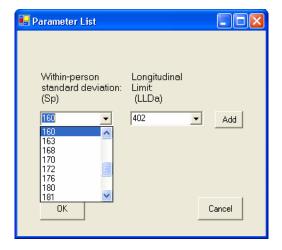


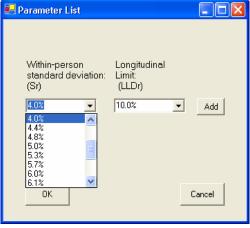
Within-person standard deviation

SPIROLA uses as the relative within-person standard deviation s_r of 4% and the corresponding LLD_r of 10% per first year of follow-up as defaults (see **Section 5**). When ATS/ERS recommendations on quality control are followed, workplace monitoring programs can achieve comparable data precision. These limits are goals that can help to achieve a satisfactory level of data precision.

However, if the relative within-person standard deviation \bar{s}_r , shown at the bottom of the **Group Within-person Variation** chart, is significantly higher/lower than the default value of 4%, SPIROLA provides an option for changing the default value to the observed \bar{s}_r value. If the \bar{s}_r value is greater than 6%, then the LLD_r of 15%, which corresponds to the ACOEM limit, should be used and effort be made to improve spirometry quality.

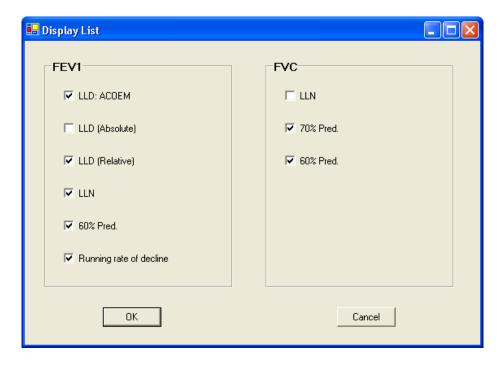
- 1. On the **Options** menu, click **Within-person Variation**, and then click **Absolute Value** or **Relative Value**, and a new dialog window will appear, as shown below.
- 2. To select an existing value from the list box, click the arrow button of **Within-person standard deviation** or **Longitudinal limit**, and click a desired value. If a desired value is not in the list box, enter the value, and click the **Add** button to add it.
- 3. Click the **OK** button to confirm the selection or **Cancel** button to cancel the selection.





Critical limit curves

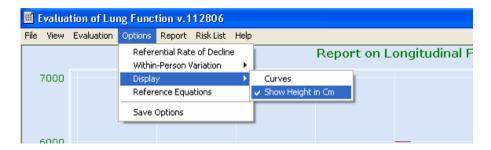
- 1. On the **Options** menu, click **Display**, and then click **Curves.** A new dialog window will appear, as shown below.
- 2. To enable or disable display of a critical limit curve, click the check box next to the name of each critical limit curve to check or uncheck that box. By default, all curves are checked except the absolute LLD for FEV1 and the LLN for FVC.



3. Click the **OK** button to confirm the selections and close this window, or click the **Cancel** button to cancel any current selections and close this window.

Show height in inches or centimeters

1. By default, each individual's height is shown in centimeters in the data table. To display height in inches, click **Display** on the **Options** menu, and then click **Show Height in cm** to remove the "check" mark.



Display values of an observation

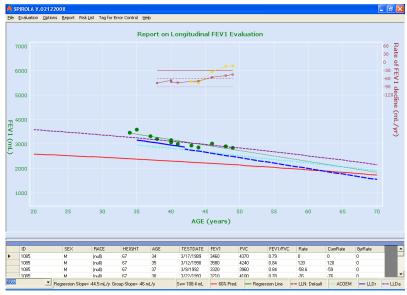
- 1. Place the cursor on any data point on the longitudinal FEV₁ evaluation chart, and then left click. A small yellow tooltip label will popup.
- 2. After a second, this tooltip label will disappear automatically.

Remove outliers from a longitudinal analysis

1. On the chart, place the cursor on any data point(s) which you want to temporarily remove, and then right click. The data point(s) will disappear from the chart, and the regression line and other curves will be recalculated and redrawn (see two charts below). The last data point can not be deleted.

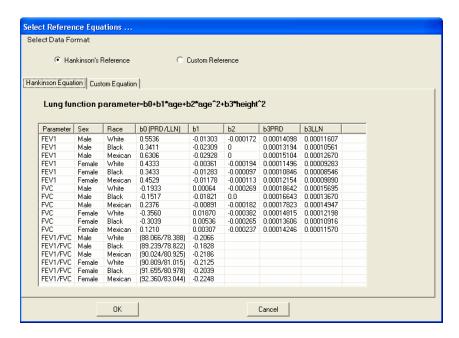
Note: The deleted data points are not deleted from the dataset, but only from the current report. When the user reloads the individual's ID, all points will be shown again. (To reload it, click the arrow next to Combo Box on the bottom left corner of the window. When ID list pop-up, click the desired individual's ID on the list.) If the user wishes to correct a data value, this needs to be done directly in the .mdb database.



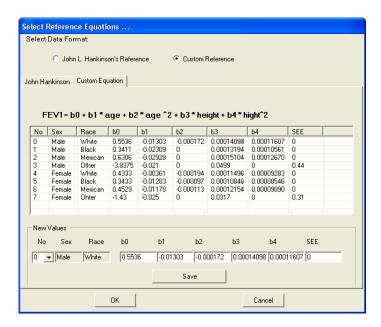


Customize the reference equation for LLN and predicted values

1. On the **Options** menu, click **Reference Equations** to display a *Select Reference Equations* window, as shown below. By default, we use reference equations based on NHANES III data to calculate lower limit of normal (LLN) and predicted values.⁷



2. To customize the LLN reference equations, select **Custom Reference** and a tab page will appear, as shown below.

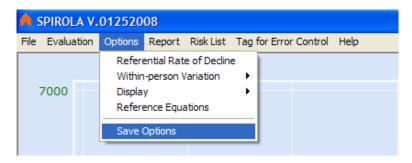


3. Enter custom parameters in the *New Values* area, and then click **Save**. The new values will be saved and show as a row in the equation table.

- 4. Repeat step 3 until all custom parameters are shown in the table.
- 5. Click **OK.** All relative curves will then be redrawn based on the new custom reference equations.

Save Options

SPIROLA allows the user to save user selected options and automatically load these options on the next startup of SPIROLA. To do that on the **Options** menu click **Save Options** and the options selected by the user will be saved into an .xml file named *app.xml* stored in the C:/SPIROLA folder and applied on the next run.



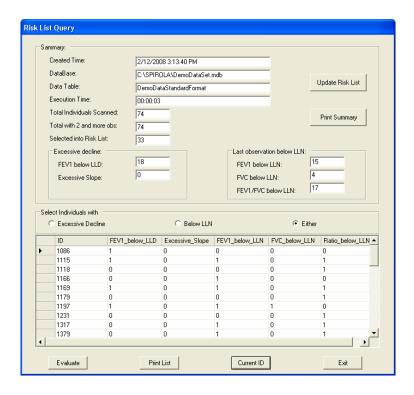
3.6 Risk List Menu

Screen individuals at increased risk for respiratory impairment

- On the Risk List menu, click Risk List to create a list of individuals whose rate of decline is excessive or whose last lung function tests (FEV1, FVC, or the FEV1/FVC ratio) are below LLN. The final list is marked by orange background. See Section 4 for the selection criteria.
- 2. SPIROLA searches through the whole dataset. The processing time depends on the size of the dataset and the performance of the computer, so the Risk List may not appear immediately. SPIROLA shows processing progress as shown below.



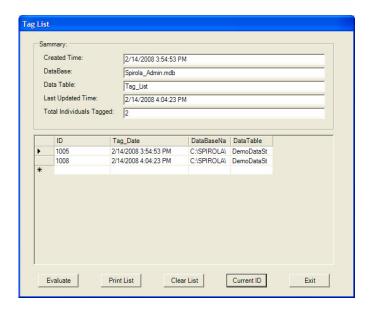
- 3. When completed, the results are displayed on the **Risk List Query** window, see below. These results will be shown each time the user clicks on the **Risk List**. The Risk List will be permanently saved until another **Update Risk List** is executed.
- 4. The information provided on the **Risk List Query** summary table enable the user to determine when was the risk list created or update and the database information. If the risk list is not for the current dataset or is outdated, the user needs to update the risk list by clicking on **Update the Risk List** on the **Risk List Query**.
- 5. To print only the summary statistics click on **Print Summary**.
- 6. To select a subset of individuals with excessive decline only or individuals whose last spirometry values are below the LLN only, click on **Excessive Decline** or **Below LLN**, respectively.
- 7. To evaluate the selected group of individuals click on **Evaluate** and select the method of evaluation from the **Evaluation** menu, or click on **Print List** to print the selected list.
- 8. To identify a particular individual from the selected subset, place a pointer next to a desired ID and click on **Current ID**.
- 9. To exit from the Risk List click on **Exit**.



Tag individuals for error control

The user may search through either whole data set or risk list and tag individuals for further data evaluation by clicking **Tag for Error Control** on the main menu. For example, individuals whose spirometry values are below LLD that may need examination for quality control can be identified and included in the Tag list.

To display the tag list, on the **Risk List** menu, click **Tag List** (see below) and process the list in a similar manner as the **Risk List**.



4. Evaluation and Interpretation of Results

Interpretation and suggested actions

The table below summaries "Interpretations" and "Suggested actions" provided in the **Summary Report**, according to the duration of follow-up. Individuals whose lung function is categorized as shown in the table are selected into **Risk List** (see below).

Interpretation	Suggested action(s)	
Less than 8 years of follow-up		
FEV ₁ < LLDr	Examine spirometry quality and re-test. If confirmed that	
	FEV ₁ <lldr, and="" annual="" consider="" intervention.<="" testing="" th=""></lldr,>	
FEV ₁ <lln< th=""><th>Examine spirometry quality and re-test. If confirmed that FEV₁<lln,< th=""></lln,<></th></lln<>	Examine spirometry quality and re-test. If confirmed that FEV ₁ <lln,< th=""></lln,<>	
	consider annual testing and intervention.	
FEV ₁ /FVC <lln< th=""><th>Examine spirometry quality and re-test. If confirmed that</th></lln<>	Examine spirometry quality and re-test. If confirmed that	
	FEV ₁ /FVC <lln, airflow="" consider<="" has="" individual="" obstruction;="" th="" the=""></lln,>	
	annual testing and intervention.	
FEV ₁ /FVC≥LLN and	Examine spirometry quality and re-test. If confirmed that	
FVC <lln†< td=""><td>FEV₁/FVC≥LLN and FVC<lln, have="" individual="" may="" restriction;<="" td="" the=""></lln,></td></lln†<>	FEV ₁ /FVC≥LLN and FVC <lln, have="" individual="" may="" restriction;<="" td="" the=""></lln,>	
	consider annual testing and intervention.	
FEV₁/FVC≥LLN and	Examine spirometry quality and re-test. If confirmed that	
FEV ₁ <lln and<="" td=""><td>FEV₁/FVC≥LLN, FEV₁<lln, and="" fvc<lln,="" individual="" may<="" td="" the=""></lln,></td></lln>	FEV₁/FVC≥LLN, FEV₁ <lln, and="" fvc<lln,="" individual="" may<="" td="" the=""></lln,>	
FVC <lln†< td=""><td>have mixed obstructive and restrictive impairment; consider annual</td></lln†<>	have mixed obstructive and restrictive impairment; consider annual	
	testing and intervention.	
FEV ₁ <60% predicted	Examine spirometry quality and re-test. If confirmed that FEV ₁ <60%	
	predicted, the individual has substantial impairment of lung function;	
	consider annual testing, intervention, and referral for clinical	
	evaluation.	
Rate of FEV ₁ decline and within-	Prior to 8 years of follow-up, excessive decline is evaluated using the	
person variation are provided.	LLD limit. The rate of decline is provided as additional information.	
8 or more years of follow-up		
FEV ₁ <lldr (derived="" from="" td="" the<=""><td>Examine spirometry quality and re-test. If confirmed that FEV₁<</td></lldr>	Examine spirometry quality and re-test. If confirmed that FEV ₁ <	
regression line)	LLDr, consider annual testing.	
Rate of FEV ₁ decline >90 mL/yr. ⁵	Examine spirometry quality and re-test. If confirmed that the rate of	
	FEV_1 decline is > 90 mL/yr, consider annual testing and intervention.	
Projected FEV ₁ declines to 60%	Examine spirometry quality and re-test. Because the individual is at	
predicted before 70 years of age	risk of developing moderate-severe respiratory impairment around	
	[AGE] years of age, consider annual testing and intervention.	
FEV ₁ /FVC <lln< td=""><td>Examine spirometry quality and re-test. If confirmed that</td></lln<>	Examine spirometry quality and re-test. If confirmed that	
	FEV ₁ /FVC <lln, airflow="" has="" individual="" obstruction.<="" td="" the=""></lln,>	
FEV ₁ /FVC≥LLN and	Examine spirometry quality and re-test. If confirmed that	
FVC <lln†< th=""><th>FEV₁/FVC≥LLN and FVC<lln, have="" individual="" may="" restriction;<="" th="" the=""></lln,></th></lln†<>	FEV₁/FVC≥LLN and FVC <lln, have="" individual="" may="" restriction;<="" th="" the=""></lln,>	
	consider annual testing and intervention.	
FEV ₁ /FVC≥LLN and	Examine spirometry quality and re-test. If confirmed that	
FEV ₁ <lln and<="" th=""><th>FEV₁/FVC\ge LLN, FEV₁\le LLN, and FVC\le LLN, the individual may</th></lln>	FEV ₁ /FVC\ge LLN, FEV ₁ \le LLN, and FVC\le LLN, the individual may	
FVC <lln†< th=""><th>have mixed obstructive and restrictive impairment; consider annual</th></lln†<>	have mixed obstructive and restrictive impairment; consider annual	
	testing and intervention.	
FEV ₁ <60% predicted	Examine spirometry quality and re-test. If confirmed that FEV ₁ <60%	
	predicted, the individual has substantial impairment of lung function;	
	consider annual testing, intervention, and referral for clinical	
	investigation.	

[†] For FVC, SPIROLA uses 70% predicted criteria when NHANES³ reference values are used.

Risk List evaluation procedure

The **Risk List** identifies individuals who fulfill any of the criteria listed in the above table. In evaluating an individual identified to be at risk of impairment the following procedure should be considered.

1. Examination of the individual's existing data

- (i) Examine the longitudinal demographic, FVC, and FEV_1 data shown on the screen in the table below the FEV_1 chart, to make sure that the data are reasonable.
- (ii) If a data point appears to be an outlier, temporarily exclude the point by right clicking on it and then evaluate the new results on the chart and in the summary report.
- (iii) If a single data point appears to be an outlier and causes the individual's selection into the risk list, check for possible data errors. The first (baseline) observation may sometimes be lower due to the learning effect. When this happens, exclusion of the baseline value may improve precision of the interpretation.
- (iv) If a data error is found, correct the data in the .mdb database using Microsoft Access software, re-run SPIROLA, and review the new **Summary Report**.

2. Examination of the individual's spirometry data quality

- (i) Examine the original spirometry tracings using the ATS standardization criteria of: (a) acceptability (extrapolated volume, cough in first second, end of test criteria, obstructed mouthpiece, extra breath, cessation of airflow); and (b) repeatability (≤ 150 mL).⁹
- (ii) If an acceptability error is found, consider removing data for that test from the dataset, correct the SPIROLA .mdb file using Microsoft Access, and then re-run SPIROLA to produce a new **Summary Report** for the individual.
- (iii) Provide feedback to the spirometry technician(s) on the spirometry errors found.

3. Re-test the individual

After the first two steps have been completed and SPIROLA still identifies the person as being at risk, consider re-testing the person within six months from the most recent test. If the re-tested spirometry values confirm the original interpretation, consider the suggested actions in the new **Summary Report**.

Suggested intervention measures

When spirometry quality issues are satisfied and re-testing confirms that a person has impairment or is at increased risk of developing respiratory disease, implementation of annual testing and intervention measures should be considered. The severity of existing impairment and the projected age at which substantial impairment is likely to occur should be considered when deciding on the type of intervention(s).

Interventions on an individual level:

Discussing lung function results with a worker can motivate the individual and can help to determine what course of action is acceptable to the individual to prevent further excessive lung function loss. Decreasing inhalation of noxious particulates and gases is

usually the most important intervention. The most important risk factor for excessive decline in lung function in smokers is often tobacco smoking, for which nicotine replacement therapy may provide best results for smoking cessation. 10 Complete smoking cessation may be needed to halt excessive lung function decline. 11 Occupational exposures to respiratory hazards also represent an important risk.¹² Evaluation of individual occupational exposures should be done. Where possible, hazardous exposures should be reduced or eliminated through engineering controls (e.g., substitution of less hazardous materials, process enclosure, workplace ventilation). Administrative controls (e.g., revised work practices) may also help limit hazardous occupational exposures. Finally, use of effective personal protective equipment (e.g., respirators) should be recommended when other measures are infeasible or insufficient by themselves. The potential synergistic effect of smoking and occupational exposure on increased risk of excessive decline in lung function should be explained to individuals who smoke and are exposed to occupational respiratory hazards. Weight gain can also contribute to lung function decline due to loss of fitness and difficulty in performing the spirometry test at full lung capacity. Body mass index (BMI) greater than 25 kg/m² can be associated with lower lung function when other factors such as gender, height, race, smoking, and respiratory symptoms, are controlled for. Increasing change in BMI/year can be also associated with an additional FEV₁ decline.

<u>Interventions at a company level</u>:

Management commitment to an integrated worksite health and safety program provides a key foundation for success in maintaining a healthy workforce. Programs are likely to be more effective when they are based on management's understanding of workers' concerns about health risks on the job. By identifying workers' priorities, smoking (for example) can be addressed in the broader context of worksite safety. Intervention at the individual level is then more likely to be successful.

Evaluation of the effect of intervention(s):

To determine the effect of individual intervention on the rate of FEV_1 decline using SPIROLA, use the small rate of decline chart on the individual FEV_1 evaluation. To determine the effect of an integrated worksite health and safety program using SPIROLA, assess trends on the FEV_1 and FVC means for the whole group and for the at-risk subgroup. An expansion of this feature is planned for a future version of SPIROLA.

5. Theoretical Background

The use of SPIROLA may help preserve lung function by:

- (i) evaluating longitudinal data precision and promptly identifying when intervention is warranted to maintain data precision at an acceptable level;
- (ii) identifying individuals with excessive decline in lung function using limits of longitudinal decline (LLD) based on the program's actual data precision, or if data precision can not be determined, based on the default criteria (i.e., s_r =4% or LLDr=10%) or the ACOEM longitudinal limit criteria (i.e., s_r =6% or LLDr=15%);
- (iii) identifying individuals who already have lung function impairment using ATS/ERS criteria based on cross-sectional data evaluation;
- (iv) identifying when an individual's lung function warrants individualized intervention measures;
- (v) evaluating the effects of intervention at the individual level and the group level.

Evaluation of FEV₁ precision in a group

Monitoring a program's data precision on an annual basis can help to identify and address data quality problems soon after these occur and this way achieve and maintain high data precision. To monitor data precision, SPIROLA calculates and charts yearly values of the *absolute within-person standard deviation* s_p and the *relative within-person standard deviation* s_r .⁴⁻⁶ These statistics are calculated on a yearly basis as the difference between FEV1_{1i} and FEV1_{2i} measured within 18 months of each other and summed over i = 1,...,n individuals. The year of the first measurement determines the assigned year. A sample of at least 50 individuals with repeated measurements is needed to obtain a reliable estimate of yearly FEV₁ variation.

The absolute within-person standard deviation s_p for a specific year is defined as:

$$s_{\rm p} = \sqrt{\frac{1}{2n} \sum_{i=1}^{n} (\text{FEV}_{1_{1i}} - \text{FEV}_{1_{2i}})^2}$$

The relative within person standard deviation s_r adjusts for each individual's FEV₁ size and for a specific year is defined as:

$$s_{\rm r} = \sqrt{\frac{1}{2n} \sum_{i=1}^{n} \left(\frac{\text{FEV}_{1_{1i}} - \text{FEV}_{1_{2i}}}{(\text{FEV}_{1_{1i}} + \text{FEV}_{1_{2i}}) / 2} \right)^2}$$

The average values $\bar{s}_p = (1/kN)\sum_i (s_{pi}n_i)$ and $\bar{s}_r = (1/kN)\sum_i (s_{ri}n_i)$ are calculated by summing the yearly weighted s_p and s_r values over all years of follow-up and then

dividing by the total number of repeated observations N. These values represent the average program-specific absolute and relative within-person variation, respectively. The \bar{s}_p and \bar{s}_r values are shown at the bottom of SPIROLA's Group Within-person Variation chart as 'Mean s_p ' and 'Mean s_r '. The mean within-person standard deviations \bar{s}_p and \bar{s}_r can be used also to derive the program-specific *limits of longitudinal decline* (LLD) by substituting these for the default values on the **Options** menu under **Within-person Variation** option.

Note: If the sample of measurements repeated within 18 months is less than 50, the s_p and s_r values are considered unreliable and are not displayed. If \bar{s}_p and \bar{s}_r values are not displayed or are based on a sparse sample, the user could use the default LLD_r value of 10% or change the default to LLD_r of 15% as based on the ACOEM limit.

Estimation of limits of longitudinal decline for an individual

Because of inherent FEV₁ variability, it takes approximately 5-8 years of follow-up to obtain a reliable estimate of the rate of FEV₁ decline in an individual. To identify individuals with an excessive FEV₁ decline within the first 8 years of follow-up, SPIROLA uses by default the relative limit of longitudinal decline (LLD_r), but the absolute limit (LLD_a) or the ACOEM limit based on 15% can also be used. These limits are applied to determine whether the lung function decline between the baseline FEV₁ value (or a mean of the first two observations, if the first FEV₁ value is lower than the second one) and each follow-up FEV₁ value is excessive. Observations that fall below the LLD warrant concern. The absolute or relative longitudinal limits are calculated based on the average within-person FEV₁ variability for the group or using the default values.

The <u>absolute limit of longitudinal decline LLD_a</u> (mL/yr) is defined as a one-sided 95% confidence limit:

$$LLD_a = t \times (b + 1.645 \times SE(b))$$

where t is the duration of follow-up in years and b is either the referent slope of decline (up to 8 years of follow-up) or the individual's estimated regression slope (beginning with 8 years of follow-up). SPIROLA uses a default referent slope of decline of 40 mL/yr based on an analysis evaluating performance characteristics of the limit with respect to sensitivity and specificity for long-term excessive decline in FEV₁of \geq 90 mL/yr and FEV₁ <60% predicted. The standard error of the slope b is defined as

$$SE(b) = \sigma_{w} \sqrt{12(P-1)} / t \sqrt{P(P+1)}$$
 (1)

where t is the duration of follow-up in years, P=2 represents two repeated measurements done during the follow-up time t (the baseline and last observation), and $\sigma_{\rm w}$ is the within-person standard deviation. By substituting the program-specific pair-wise

estimate of the within-person standard deviation \bar{s}_p for the within-person variation σ_w in equation (1), one can estimate program-specific absolute LLD_a.

The <u>relative limit of longitudinal decline LLD_r</u> (%) standardizes for the magnitude of FEV_1 and is defined as:

$$LLD_{r} = t \times (b/\overline{FEV}_{1b} + 1.645 \times SE_{r}(b))$$
(2)

where $\overline{\text{FEV}}_{1b}$ is the program-specific mean baseline FEV_1 , and $\text{SE}_r(b)$ is the approximate standard error of $b/\overline{\text{FEV}}_{1b}$ calculated by substituting the program-specific relative within-person standard deviation \overline{s}_r for σ_w in equation (1).

The limit for the actual value of FEV_1 (mL) below which an individual's FEV_1 should not decline after t years of follow-up without raising concern can be calculated in terms of the individual's baseline FEV_{1b} value and LLD_a or LLD_r , as follows:

$$FEV_1 = FEV_{1b} - LLD_a$$

or

$$FEV_1 = FEV_{1b} - FEV_{1b} \times LLD_r$$

SPIROLA's default value for the relative within-person variation \bar{s}_r is 4%, which corresponds to LLD_r of 10% for t=1 (i.e., annual follow-up). The LLD_r of 15% for t=1, which corresponds to the ACOEM limit, is based on \bar{s}_r of 6%. To change this default value, on the **Options** menu use the **Within-person Variation** option. Beginning with 8 years of follow-up, the interpretation of excessive decline is based on an individual's regression slope and the lower 95% confidence limit around the regression line calculated as above. Here b represents the estimated regression slope and the individual's baseline measurement FEV_{1b} is replaced by the individual's predicted FEV₁ value.

Cross-sectional evaluation to identify respiratory impairment

SPIROLA evaluates and reports for the most recent spirometry test whether the FEV₁, FVC, or FEV₁/FVC ratio values are below the respective "cross-sectional" lower limit of normal (LLN) values or whether the FEV₁ value is below 60% predicted. By default, the LLN values and the predicted values are calculated using the Hankinson et al. reference equations estimated separately for Caucasians, African-Americans, and Mexican-Americans on US population data. In addition, user-defined reference equations for FEV₁, FVC, and the FEV₁/FVC ratio can be specified. For FVC SPIROLA uses 70% predicted value for decision making, when NHANES based reference values are used, but LLN for user-specified reference values. The **Options > Display > Curves** menu enables users to select for display either LLN or 70% predicted or both.

6. References

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Appendix

Data source and format

SPIROLA requires demographic and spirometry data stored in or transported to a Microsoft Access database as a data table. The table needs to be sorted by ID and TestDate. For each individual and each lung function testing, this table must contain the following fields in the specified data type. SPIROLA can also calculate "Age" from "BirthDate" if it is provided. Fields can be in any order and names are not case sensitive.

- **ID** A text field (alpha numerical) to identify a tested individual.
- Sex A text field to store "M" for male or "F" for female gender.
- Race A text field to store "M" for Mexican-Americans, "B" for African-Americans, or "W" for Caucasians and other groups. This variable is used for selecting the appropriate set of reference equations.
- Age A numerical field for age in years at the time of test.
- **BirthDate** A date field (format: mm/dd/yyyy) to store date of birth (optional).
- **Height** A numerical field to store height (cm) measurements of a tested individual.
- **FEV1** A numerical field to store best FEV₁ (mL) value of a tested individual.
- **FVC** A numerical field to store best FVC (mL) value of a tested individual.
- **TestDate** A date field (format: mm/dd/yyyy) to store test dates.

Additional optional fields are:

- Last Name A text field (Surname/family name).
- Middle_Initial A text field (leave blank if not available).
- First Name A text field

Inclusion of names in the database enables the user to identify an individual by name using 'Individual Identity' function in the 'Evaluation menu'. To use 'Identity Function' all three name variables must be provided.

Additional fields containing, for example, weight, smoking status, cigarettes/day, asthma status, quality control code, technician code, or respiratory symptoms data can be added. These data will be shown at the bottom of individual's FEV₁ chart, but will not be used in the analysis.

Data stored in other standard databases can be imported into a Microsoft Access database using the "Import" facility. To create the required variable format (e.g., "M" for male), the original variables can be converted by designing a *Make-Table Query* object in Access or by *Macro programming*. To avoid data loss, all .mdb files should be backed up in C:\SPIROLADATA.

ATS/ERS guidelines on Standardization of Lung Spirometry, recommend a standard format for databases generated by spirometers (Eur Respir J 2005; 26:319-338). All the variables specified by SPIROLA are defined by the ATS/ERS guidelines to be included in the standard database. At this stage the user needs to convert the spirometer-generated

database into an Access database. Future SPIROLA revisions will enable automatic access to the ATS/ERS standardized data files

Incorrect records or missing values

If a record has missing or incorrect values for variables such as ID, Age or BirthDate (one needs to be present), Height, FEV1, FVC, or TestDate, the record is excluded from the analysis, but it is stored in a data file DeletedRecords.xml on the folder C:\Spirola.

Software requirements to run SPIROLA

- Microsoft Windows XP or Windows 2000/2003
- Microsoft .NET Framework and Database engine. In most cases these software packages are already installed in the user's computer.
- Microsoft Access is optional and enables viewing or editing data in Microsoft Access format.

SPIROLA installation package downloaded from webpage or from CD. Some support programs are required to run SPIROLA. In most cases, these programs are already installed with Microsoft Windows XP. SPIROLA may alert the user to install the .NET Framework or other components from Microsoft web sites.

- Microsoft .NET Framework version 1.1 redistributable package. This package includes everything needed to run applications developed using the .NET Framework. To install this framework, run program **DOTNETFX.EXE** provided in the SPIROLA software package or obtained as a free download from following link: http://www.microsoft.com/downloads/details.aspx?FamilyID=262d25e3-f589-4842-8157-034d1e7cf3a3&displaylang=en
- Microsoft Data Access Components (MDAC). This is for applications that use data access. To install this framework, run program MDAC_TYP.EXE provided in the SPIROLA software package or obtained as a free download from following link: http://www.microsoft.com/downloads/details.aspx?familyid=78cac895-efc2-4f8e-a9e0-3a1afbd5922e&displaylang=en